

SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) VERIFICATION STATEMENT

Grant Application Number: _____

Organization: _____

Principal Investigator: _____

Under the STTR Program, the statute requires that the applicant must be eligible at the time of the award. As the responsible Federal Official for administering funds, Grants Management Officials must verify eligibility prior to issuing a notice of grant award. For eligibility clarification see the July 25, 2003 Notice in the NIH Guide for Grants and Contracts (NOT-OD-03-053) [SMALL BUSINESS ELIGIBILITY REQUIREMENTS FOR APPLICANTS TO THE SMALL BUSINESS INNOVATION RESEARCH \(SBIR\) AND SMALL BUSINESS TECHNOLOGY TRANSFER \(STTR\) PROGRAMS](#). If the firm is affiliated with any other organization (domestic or foreign), please explain the nature of the affiliation (e.g., university, listing of shareholders, venture capital investments, institutional investors, etc., percentage of stock each affiliate holds.) For more information on affiliation, see <http://www.sba.gov/regulations/121>.

If the pending application referenced above is selected for funding, no award will be issued until the NIDDK receives and accepts the following information, which may be provided in a format of your choosing or by completing a checklist as in the example below:

- ☐ 1 The above named organization is a for-profit U.S. small business concern that is at least 51% owned and controlled by one or more **individuals** who are citizens of, or permanent resident aliens in, the United States (as the regulations currently requires) and the above named organization **IS NOT** a subsidiary of another company.
- ☐ 2 The above named organization is independently owned and operated, and has, including its affiliates, 500 or fewer employees.
- ☐ 3 The research space occupied by the above named organization is generally not shared with another organization and is under the control of the above named organization.
- ☐ 4 All research on the above referenced grant will be performed in its entirety in the United States.
- ☐ 5 The above named principal investigator has a formal appointment or commitment to the above named organization, which is characterized by an official relationship between the organization and the principal investigator, whose percent of effort on this project will be not less than 10% effort.
- ☐ 6 It is understood that PHS will not support any market research under its STTR program, as defined in the Omnibus Solicitation, or literature searches that will lead to a new or expanded statement of work and that if an award is made, any such costs, if requested in the application, will be removed prior to award.
- ☐ 7 In conducting the joint research and development proposed in this project, the above named applicant will conduct not less than 40% of the work and the research institution named in the application will perform not less than 30% of the work.
- ☐ 8 It is understood that if this project is funded, drawing down funds from the payment system serves as the certification that the above-named organization has in place written policies and procedures for financial and business management systems that comply with the standards set forth in "Requirements for Financial and Business Management Systems for SBIR/STTR Awardees" (attached) and will follow those policies and procedures.

My signature is verification that the statements checked () above are true and complete. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

(Official Authorized to Sign for the Organization)

(Date signed)